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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/001,237

10/30/2001

Neal Brady

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9272

7590

01/25/2006

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EXAMINER

POINVIL, FRANTZY

ART UNIT

PAPER NUMBER

3628

DATE MAILED: 01/25/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No. 10/001,237	Applicant(s) BRADY ET AL.	
	Examiner Frantzy Poinvil	Art Unit 3628	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 2 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 21 October 2005.
- 2a) ☐ This action is FINAL.                      2b) ☐ This action is non-final.
- 3) ☒ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 21-60 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 21-60 is/are allowed.
- 6) ☐ Claim(s) \_\_\_\_\_ is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>12/30/04</u> . | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

1. This application is in condition for allowance except for the following formal matters:

As per claim 21, line 20, “an” should be changed to - -said- -. On line 23, “an” should be changed to - -said- -.

As per claim 24, line 2, “an” should be changed to - -said- -.

As per claim 25, line 2, “a” should be changed to - -said- -.

As per claim 26, line 3, “an” should be changed to - -said- -.

As per claim 27, line 3, “a” should be changed to - -said- -.

As per claim 28, the first occurrence of “a” should be changed to - -said- -. Also on line 4, “the” should be deleted.

As per claim 29, line 2, - -said—has been inserted before “indicative”. Also on line 2, - -said- - has been inserted before “binding”.

As per claim 31, line 15, “an” should be changed to - -said- -. On line 17, “an” should be changed to - -said- -. On line 22, “a” should be changed to - -said- -.

As per claim 33, line 2, “an” should be changed to - -said- -.

As per claim 34, line 2, “a” should be changed to - -said- -.

As per claim 35, line 2, “a” should be changed to - -said- -. On line 35, line 3, “an” should be changed to - -said- -.

As per claim 36, “a” should be changed to - -said- -. On line 3, “a” should be changed to - -said- -.

As per claim 37, line 2, the first occurrence of “a” should read - -said- -. On line 5, “the” should be deleted.

As per claim 38, line 3, “an” should be changed to - -said- -. Also on line 3, “a” should be changed to - -said- -.

As per claim 40, line 18, “a” should be changed to - -said- -. On line 26, - - second- - should be inserted before “memory”. On line 29, “an” should be changed to - -said- -. On line 32, “an” should be changed to - -said- -. On line 34, - -second- - should be inserted before “network”. On line 35, “a” should be changed to - -said- -. Also on line 35 - -second- -should be inserted before “network”. On line 38, “a” should be changed to - -said- -. On line 51, “an” should be changed to - -said- -. On line 54, “a” should be changed to - -said- -.

As per claim 42, line 2, “an” should be changed to - -said- -.

As per claim 43, line 2, “a” should be changed to - -said- -.

As per claim 46, line 2, “an” should be changed to - -said- -.

As per claim 47, line 2, “a” should be changed to - -said- -.

As per claim 50, line 5, “the” has been deleted.

As per claim 51, line 2, - -to- - should be inserted before “receive”. On line 4, “third” should be inserted before “network”. On line 7, “third” should be inserted before “network”.

As per claim 52, line 4, “an” should be changed to - -said- -. Also on line 4, “a” should be changed to - -said- -. On line 9, - -first- - should be inserted before “network”.

As per claim 55, line 1, “the” should be deleted. On line 3, “an” should be changed to - -said- -.

As per claim 56, line 1, "the" should be deleted.

Prosecution on the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

A shortened statutory period for reply to this action is set to expire **TWO MONTHS** from the mailing date of this letter.

2. Claims 21-60 are allowable over the art of record.

3. the prior art taken alone or in combination failed to teach or suggest:

"the requestor may cause transmission of the request for an indicative quote for the at least one product via the network to the identified market maker station of the plurality of market maker stations, the remaining of the plurality of market maker stations not receiving the request for the indicative quote, and whereby the identified market maker station may respond to the request for indicative quote with an indicative quote for only the at least one product and the at least identified market maker station may respond to the request for a binding quote with a binding quote for only the at least one product" as recited in independent claim 21.

The prior art taken alone or in combination failed to teach or suggest a function of "enabling communications between the subscriber station and at least the identified market maker station of the plurality of market maker stations such that the subscriber station may cause transmission of request for a binding quote for the at least one product to the at least identified market maker station and the at least identified market

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maker station may respond with a binding quote only for the at least one product" as recited in independent claim 31..


The prior art taken alone or in combination failed to teach or suggest "third logic stored in the third memory and executable by a third processor to generate the request for identification of the market maker station associated with a market maker interested in quoting for the at least one product of the plurality of products and transmit the request to the at least one network managing station via the network, and cause transmission of the request for an indicative quote for the at least one product to the identified market maker station via the network in response to the enabling of communications by the at least one network managing station, the third logic being further operative to cause transmission of the request for a binding quote for the at least one product to the at least identified market maker station via the network in response to the enabling of communications by the at least one network managing station" as recited in independent claim 40.

### ***Conclusion***

4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Frantzy Poinvil whose telephone number is (703) 305-9779. The examiner can normally be reached on Monday-Thursday from 7:00AM to 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Sam Sough can be reached on (571) 272-6799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



Frantzy Poinvil  
Primary Examiner  
Art Unit 3628

FP  
December 17, 2005